

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In re application of : August 31, 2001  
Brian K. Martin : IBM Corporation  
Filing Date: Herewith : Dept.T81/Bldg. 503-3  
Serial No. Not Assigned Yet : P.O. Box 12195  
For: State Machine for Accessing a Stealth Firewall : Research Triangle Park,  
: North Carolina 27709

JC997 U.S. PTO  
09/944996  
08/31/01

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Applicants submit herewith patents, publications or other information which they became aware of and which there may be a duty to disclose in accordance with 37 CF 1.56 and 37 C.F.R. 1.97(e)(1).

While this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR 1.98(a)(1).

A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

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Form PTO-1449  
(Rev. 2-88)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
RSW92001151  
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APPLICATION NO.

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Martin, B.

FILING DATE

GROUP

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

| EXAMINER'S<br>INITIAL |  | DOCUMENT NUMBER | DATE     | NAME                       | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|-----------------------|--|-----------------|----------|----------------------------|-------|----------|-------------------------------|
|                       |  | 5,802,106       | 09/01/98 | Packer, R.                 | 375   | 225      | 12/06/96                      |
|                       |  | 5,941,988       | 08/24/99 | Bhagwat, P., <i>et al.</i> | 713   | 201      | 01/27/97                      |
|                       |  | 5,958,053       | 09/28/99 | Denker, J.                 | 713   | 201      | 01/30/97                      |
|                       |  | 5,978,849       | 11/02/99 | Khanna, S.                 | 709   | 227      | 06/13/97                      |
|                       |  | 6,006,264       | 12/21/99 | Colby, S., <i>et al.</i>   | 709   | 226      | 08/01/97                      |
|                       |  | 6,163,812       | 12/19/00 | Gopal, A., <i>et al.</i>   | 709   | 310      | 10/20/97                      |
|                       |  |                 |          |                            |       |          |                               |
|                       |  |                 |          |                            |       |          |                               |
|                       |  |                 |          |                            |       |          |                               |
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|                       |  |                 |          |                            |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |  | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|--|-----------------|------|---------|-------|----------|-------------|----|
|  |  |                 |      |         |       |          | YES         | NO |
|  |  |                 |      |         |       |          |             |    |
|  |  |                 |      |         |       |          |             |    |
|  |  |                 |      |         |       |          |             |    |
|  |  |                 |      |         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |  |   |
|--|--|--|---|
|  |  |  | Firewalls FAQ, <a href="http://www.faqs.org/faqs/firewalls-faq">www.faqs.org/faqs/firewalls-faq</a> , (July 20, 2001)   |
|  |  |  | B. Gillespie, <i>Stealth Firewalls</i> , Sans Institute, <a href="http://www.sans.org/infosecFAQ/firewall/stealth.htm">www.sans.org/infosecFAQ/firewall/stealth.htm</a> (July 23, 2001) |
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EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if a citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

09/944996  
08/31/01